

19704 U.S. PTO
10/659009
09/10/03



UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 42P17104
(maximum 12 characters)

First Named Inventor Remus Nicolaescu et al.

Title: METHOD AND APPARATUS FOR RAMAN RING RESONATOR BASED LASER/WAVELENGTH CONVERTER

Express Mail Label No. EV320118506US

ADDRESS TO: **Mail Stop: Patent Application**
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. XX Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. _____ Applicant Claims Small Entity Status. (37 CFR 1.27)
3. XX Specification (Total Pages 31)
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table,
or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. XX Drawings(s) (35 USC 113) (Total Sheets 4)
5. XX Oath or Declaration (Total Pages 4)
 - a. XX Newly Executed (Original or Copy)
 - b. _____ Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 18 completed)
 - i. _____ **DELETIONS OF INVENTOR(S)** Signed statement attached deleting
inventor(s) named in the prior application, see 37 CFR 1.63(d)(2)
and 1.33(b).
 - c. _____ Unsigned.
6. _____ Application Data Sheet. (37 CFR 1.76)
7. _____ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. _____ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. _____ Computer Readable Form (CRF)
 - b. _____ Specification Sequence Listing on:
 - i. _____ CD-ROM or CD-R (2 copies); or
 - ii. _____ paper
 - c. _____ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. XX **Assignment Papers (cover sheet & documents(s))**

10. _____ a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
_____ b. Power of Attorney

11. _____ English Translation Document (if applicable)

12. _____ a. Information Disclosure Statement (IDS)/PTO-1449
_____ b. Copies of IDS Citations

13. _____ Preliminary Amendment

14. XX **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**

15. _____ Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. _____ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17A. XX **Other: Certificate of mailing with copy of postcard signed by attorney**

17B. XX Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.

18A. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet Under 37 C.F.R. 1.76:

Continuation Divisional Continuation-in-part (CIP)
 Of Prior Application No.: _____ Examiner _____ Group Art Unit _____
 (which is a continuation/ divisional/ CIP of prior application no. _____,
 which is a continuation/ divisional/ CIP of prior application no. _____) (List entire chain of priority)

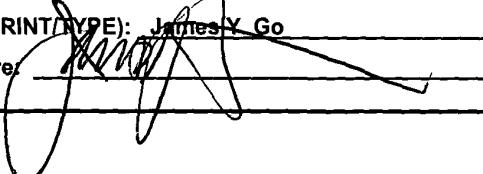
Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.

For **CONTINUATION AND DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that _____ (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. _____ Frame No. _____ (or a copy of which is attached).

19. Correspondence Address
 Customer Number or Bar Code Label _____
 or _____ (Insert Customer No. or Attach Bar Code Label here)
 Correspondence Address Below
 NAME _____ James Y. Go
 ADDRESS _____ BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
 ADDRESS _____ 12400 Wilshire Boulevard
 ADDRESS _____ Seventh Floor
 CITY _____ Los Angeles STATE _____ California ZIP CODE _____ 90025-1026
 Country _____ U.S.A. TELEPHONE _____ (206) 292-8600 FAX _____ (206) 292-8606

Name (PRINT/TYPE): James Y. Go
 Signature: 

Registration No.: 40,621
 Date: 9-10-03

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

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S PTO

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 970.00)

Complete if Known

Application Number	New Patent Application
Filing Date	Concurrently herewith
First Named Inventor	Remus Nicolaescu et al.
Examiner Name	Not Yet Assigned
Art Unit	Not Yet Assigned
Attorney Docket No.	42P17104

METHOD OF PAYMENT (check all that apply)

 Check Credit card Money Order Other None
 Deposit Account:

Deposit Account Number: 02-2666

Deposit Account Name:

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments

Charge any additional fee(s) during the pendency of this application

Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

SUBTOTAL (1) (\$ 750)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	30	-20** = 20	X 18 = 180
Independent Claims	3	-3** = 0	X 84 = 0
Multiple Dependent			

Large Entity	Small Entity	Fee Description
Fee Code	Fee Code	Fee Description
1202	18	2202 9 Claims in excess of 20
1201	84	2201 42 Independent claims in excess of 3
1203	280	2203 140 Multiple dependent claim, if not paid
1204	84	2204 42 ** Reissue independent claims over original patent
1205	18	2205 9 ** Reissue claims in excess of 20 and over original patent

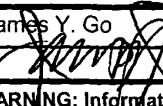
SUBTOTAL (2) (\$ 180)

**or number previously paid, if greater; For Reissues, see above

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40)

(Complete if applicable)				
Name (Print/Type)	James Y. Go	Registration No. (Attorney/Agent)	40,621	Telephone 206-292-8600
Signature			Date	9-10-03

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.